

## TRANSMITTAL FORM

Attorney Docket No:  
OS-16/2376P

In re the application: Larry Lawson JONES, et al.

Confirmation No. 3793

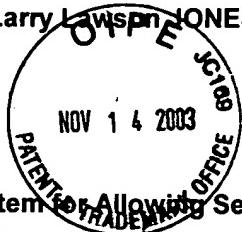
Serial No: 09/683,919

Group Art Unit: 2131

Filed: March 1, 2002

Examiner: to be assigned

For: Device and System for Allowing Secure Identification of an Individual When Accessing Information and a Method of Use

2003  
NOV 14 2003

| ENCLOSURES (check all that apply)   |  |   |  |   |   |
|-------------------------------------|--|---|--|---|---|
| <input type="checkbox"/>            | Amendment/Reply  | <input type="checkbox"/>  | Assignment and Recordation Cover Sheet           | <input type="checkbox"/>                          | After Allowance Communication to Group                            |
|                                     | <input type="checkbox"/> After Final                         | <input type="checkbox"/>  | Part B-Issue Fee Transmittal                     | <input type="checkbox"/>                          | Appeal Communication to Board of Appeals and Interferences        |
| <input checked="" type="checkbox"/> | Information disclosure statement                             | <input type="checkbox"/>  | Letter to Draftsman                              | <input type="checkbox"/>                          | Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
|                                     | <input checked="" type="checkbox"/> Form 1449                | <input type="checkbox"/>  | Drawings   | <input type="checkbox"/>                          | Status Letter   |
|                                     | <input checked="" type="checkbox"/> (X) Copies of References | <input type="checkbox"/>  | Petition   | <input checked="" type="checkbox"/>               | Postcard  |
| <input type="checkbox"/>            | Extension of Time Request *                                  | <input type="checkbox"/>  | Fee Address Indication Form                      | <input type="checkbox"/>                          | Other Enclosure(s) (please identify below):                       |
| <input type="checkbox"/>            | Express Abandonment  | <input type="checkbox"/>  | Terminal Disclaimer                              | RECEIVED<br>NOV 18 2003<br>Technology Center 2100 |   |
| <input type="checkbox"/>            | Certified Copy of Priority Doc                               | <input type="checkbox"/>  | Power of Attorney and Revocation of Prior Powers |   |   |
| <input type="checkbox"/>            | Response to Incomplete Appln                                 | <input type="checkbox"/>  | Change of Correspondence Address                 |   |   |
| <input type="checkbox"/>            | Response to Missing Parts                                    | *Extension of Term: Pursuant to 37 CFR 1.136, Applicant petitions the Commissioner to extend the time for response for xxxxx month(s), from _____ to _____. |  |   |   |
| <input type="checkbox"/>            | Executed Declaration by Inventor(s)                          |   |  |   |   |

## CLAIMS

| FOR                | Claims Remaining After Amendment | Highest # of Claims Previously Paid For | Extra Claims | RATE       | FEE     |
|--------------------|----------------------------------|---|--------------|------------|---------|
| Total Claims       | 0                                | 0                                       | 0            | \$ 9.00    | \$ 0.00 |
| Independent Claims | 0                                | 0                                       | 0            | \$42.00    | \$ 0.00 |
|                    |                                  |   |              | Total Fees | \$ 0.00 |

## METHOD OF PAYMENT

|                                     |  |
|-------------------------------------|--|
| <input type="checkbox"/>            | Check no. _____ in the amount of \$ _____ is enclosed for payment of fees.                             |
| <input type="checkbox"/>            | Charge \$ _____ to Deposit Account No. _____ (Account Holder Name) for payment of fees.                |
| <input checked="" type="checkbox"/> | Charge any additional fees or credit any overpayment to Deposit Account No. 02-2120 (Sawyer Law Group) |

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

|               |  |
|---------------|--|
| Attorney Name | Joseph A. Sawyer, Jr., Reg. No. 30,801 |
| Signature     |  |
| Date          | November 10, 2003                      |

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: November 10, 2003

|                      |              |
|----------------------|--------------|
| Type or printed name | Grace Alicea |
| Signature            |              |

CERTIFICATE OF MAIL

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on November 10, 2003.

Grace Alicea



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Date: November 10, 2003

Larry Lawson JONES, et al.

Confirmation No. 3793

Serial No.: 09/683,919

Group Art Unit: 2131

Filed: March 1, 2002

Examiner: to be assigned

For: DEVICE AND SYSTEM FOR ALLOWING SECURE IDENTIFICATION  
OF AN INDIVIDUAL WHEN ACCESSING INFORMATION AND A  
METHOD OF USE

**RECEIVED**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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Technology Center 2100

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. §1.97

Sir/Madam:

Pursuant to 37 C.F.R. §1.97 and §1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. The Examiner is requested to make these documents of record. This Information Disclosure Statement is being submitted:

- With copies.
- Without copies. Copies of the documents were previously submitted in an Information Disclosure Statement and/or Office Action, directed to the related application Serial No. \*\*, filed \*\*. This protocol conforms with 37 C.F.R. §1.98(d) and M.P.E.P. 609 (A)(2).
- Without copies. This protocol conforms with 37 CFR 1.98(a)(2)(i), which waives the requirement for submitting a copy of each cited U.S. Patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003.
- The documents listed on the attached Form PTO-1449 were cited in a Search Report directed to a counterpart international or foreign application.
- With the application; accordingly, no fee or separate requirements are required.
- Within three months of the application filing date, or before mailing of a first Office Action on the merits.

- After receipt of a first Office Action on the merits, but before the mailing date of a Final Office Action under §1.113, or a Notice of Allowance §1.311. Accompanied by one of:
  - Certification under 37 CFR §1.97(e); or
  - The fee set forth in §1.17(p)
- After mailing of a final Office Action or Notice of Allowance, but on or before payment of the issue fee. Accompanied by:
  - Certification under 37 CFR §1.97(e); and
  - The fee set forth in §1.17(p)
- A Certification under 37 C.F.R. §1.97(e) is provided below:
  - I hereby certify that each item of information was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

-or-

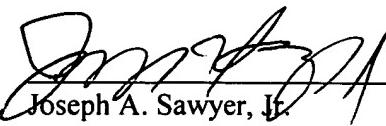
- I hereby certify that no item of information was cited in a communication from a foreign patent office in a counterpart foreign application or, to the best of my knowledge after making a reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

If any unresolved issues remain, please contact Applicant's attorney at the telephone number indicated below. The Commissioner is hereby authorized to charge any fees associated with this communication, or credit any overpayment, to Deposit Account No. **02-2120 (Sawyer Law Group LLP)**.

Respectfully submitted,  
SAWYER LAW GROUP

10/10/03  
Date



Joseph A. Sawyer, Jr.  
Attorney for Applicant(s)  
Reg. No. 30,801  
(650) 493-4540

|   |  |                                     |
|---|--|-------------------------------------|
| <p>FORM PTO-1449 (Modified)</p> <p>LIST OF PATENTS AND PUBLICATIONS FOR<br/>APPLICANT'S INFORMATION<br/>DISCLOSURE STATEMENT</p> <p>(Use several sheets if necessary)</p> | <p>ATTY. DOCKET NO.</p> <p>OS-16 / 2376P</p> | <p>SERIAL NO.</p> <p>09/683,919</p> |
| <p><b>APPLICANT:</b> Larry Lawson JONES, et al.</p>   |  |                                     |
| <p>FILING DATE: March 1, 2002      GROUP: 2131</p>  |  |                                     |

## REFERENCE DESIGNATION

## **U.S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

|  | DOCUMENT NUMBER | DATE     | COUNTRY | CLASS      | SUBCLASS | Translation |
|--|-----------------|----------|---------|------------|----------|-------------|
|  | WO 00/42491     | 20.07.00 | PCT     | G06F 1/00  |          | Y           |
|  | WO 01/61692 A1  | 23.08.01 | PCT     | G11B 11/00 |          | Y           |

**OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)**

|                 |                        |  |
|-----------------|------------------------|--|
|                 |                        |  |
|                 |                        |  |
| <b>EXAMINER</b> | <b>DATE CONSIDERED</b> |  |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.